

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Applicant(s): GONG, Liuzhu et al.

Serial No.: 10/518,118

Filed: December 15, 2004

For: CHIRAL CATALYST, PROCESS FOR  
PREPARING THE SAME AND ITS  
USE IN THE OXIDATE COUPLING  
OF NAPHTHOIS DISPLAY VESSEL

Art Unit: 1754

Examiner: Not yet assigned



I hereby certify that this paper is being deposited  
with the United States Postal Service as FIRST-  
CLASS mail in an envelope addressed to:  
Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450 on this date.

August 31, 2005

Date

*[Signature]*  
Attorney for Applicant(s)  
Registration No. 31,497

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In the Filing Receipt issued for the above-identified patent application, please correct the "FIL FEE REC'D" as follows: delete "450" and insert --540--. Enclosed is a copy of the transmittal and cancelled check. Furthermore, please correct the "IND CLMS" as follows: delete "1" and insert -3--.

Applicants respectfully request that a Corrected Filing Receipt bearing the above corrections be issued for the above-identified application. A copy of the filing receipt with the changes marked is enclosed.

Respectfully submitted,

GREER, BURNS &amp; CRAIN, LTD.

August 31, 2005  
300 S. Wacker Drive - Suite 2500  
Chicago, Illinois 60606  
Tel.: (312) 360-0080  
Customer No.: 24978

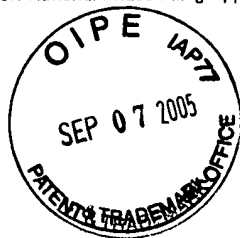
By

*[Signature]*  
Lawrence J. Crain  
Registration No. 31,497  
Attorney for Applicants

# GREER, BURNS & CRAIN, LTD.

35476

		CHECK			
DATE	DESCRIPTION	INVOICE #	AMOUNT	DEDUCTION	NET AMOUNT
0002	Commissioner of Patents and Trademarks				35476
12/15/2004	PTO Filing Fee New National Phase Filing Application Fee	Invoice # 306	Exp Code 1238	Client # 72142	GL # 11202 Amount 540.00



**COPY**

CHECK DATE 12/15/2004	CONTROL NUMBER	TOTALS ▶	540.00
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**GREER, BURNS & CRAIN, LTD.**  
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CHICAGO, IL 60606-8745  
(312) 386-0080

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**\*\*FIVE HUNDRED FORTY AND 00/100 DOLLARS\*\***

TO THE ORDER OF Commissioner of Patents and Trademarks

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11035476 1107102566 11 2756278

## GREER, BURNS & CRAIN, LTD.

0002	Commissioner of Patents and Trademarks							35476
Date	Description	Invoice #	Exp Code	Client #	Matter	GL #	Amount	35476
12/15/2004	PTO Filing Fee New National Phase Filing Application Fee	306	1238	72142	11202		540.00	

Total this stub

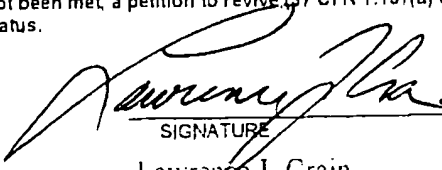
540.00

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER <b>1238 72142</b>
		U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
INTERNATIONAL APPLICATION NO. <b>PCT/CN03/00156</b>	INTERNATIONAL FILING DATE <b>27 February 2003 (27.02.03)</b>	PRIORITY DATE CLAIMED <b>18 June 2002 (18.06.02)</b>
TITLE OF INVENTION <b>A CHIRAL CATALYST USED FOR OXIDATIVE COUPLING OF NAPHTHOLS, PROCESS FOR PREPARING THE SAME AND ITS USE IN ASYMMETRIC OXIDATIVE COUPLING OF 2-NAPHTHOLS</b>		
APPLICANT(S) FOR DO/EO/US <b>GONG, Lianzhi; LUO, Zhibin; LIU, Quanzhong; MI, Aiqiao; JIANG, Yaozhong</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li><li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))<ol style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> is attached hereto.</li><li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li></ol></li><li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li><li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li></ol>		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"><li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li><li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li><li>13. <input type="checkbox"/> A preliminary amendment.</li><li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li><li>15. <input type="checkbox"/> A substitute specification.</li><li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li><li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.</li><li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li><li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li><li>20. <input checked="" type="checkbox"/> Other items or information: <b>International Search Report</b></li></ol>		

**COPY**

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. PCT/CN03/00156		ATTORNEY'S DOCKET NUMBER 1238.72142		
21. The following fees are submitted:						
<input checked="" type="checkbox"/> a) Basic national fee.....				\$300.00	\$	
<input checked="" type="checkbox"/> b) Examination fee.....				\$200.00	\$	
<input checked="" type="checkbox"/> c) Search fee.....				\$500.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$1000.00	\$ 1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.						
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE		
17 - 100 =	0	/50 =		x \$250.00	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$		
Total claims	14	- 20 = 0	x \$50.00	\$		
Independent claims	3	- 3 = 0	x \$200.00	\$		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$		
TOTAL OF ABOVE CALCULATIONS =				\$ 1,000.00		
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					\$	
SUBTOTAL =				\$ 500.00		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					\$	
TOTAL NATIONAL FEE =				\$ 500.00		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property					\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 540.00		
					Amount to be refunded:	\$
					Amount to be charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>540.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>07-2069</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>						
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.						
<p>SEND ALL CORRESPONDENCE TO:</p> <p>LAWRENCE J. CRAIN, ESQ. GREER, BURNS &amp; CRAIN, LTD. SUITE 2500 300 SOUTH WACKER DRIVE CHICAGO, ILLINOIS 60606 312 360-0080 312 360-9315</p>						
 SIGNATURE Lawrence J. Crain NAME					31 497 REGISTRATION NUMBER	



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/518,118	12/15/2004	1754	<del>450</del> 540	1238.72142		14	13

CONFIRMATION NO. 3259

24978  
GREER, BURNS & CRAIN  
300 S WACKER DR  
25TH FLOOR  
CHICAGO, IL 60606

## FILING RECEIPT



\*OC000000016641741\*

Date Mailed: 08/01/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Liuzhu Gong, Sichuan, CHINA;  
Zhibin Luo, Sichuan, CHINA;  
Quanzhong Liu, Sichuan, CHINA;  
Aiqiao Mi, Sichuan, CHINA;  
Yaozhong Jiang, Sichuan, CHINA;

## Assignment For Published Patent Application

Chengdu Institute of Organic Chemistry Chinese Academy of Sciences, Chengdu, Sichuan,  
CHINA

Power of Attorney: The patent practitioners associated with Customer Number 24978.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/CN03/00156 02/27/2003

## Foreign Applications

CHINA 02133305.X 06/18/2002

Projected Publication Date: 11/03/2005

Non-Publication Request: No

Early Publication Request: No

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2005 AUG - 8 AM 9:58

**\*\* SMALL ENTITY \*\*****Title**

Chiral catalyst, process for preparing the same and its use in the oxidate coupling of naphthols

**Preliminary Class**

502

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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